



PATENT  
Attorney Docket No. SRI-010A  
(7565/14)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Sastry et al.  
SERIAL NO.: 09/900,618 GROUP NO.: 2661  
FILING DATE: July 6, 2001 EXAMINER:  
TITLE: A Per Hop Behavior For Differentiated Services In Mobile Ad Hoc  
Wireless Networks

Assistant Commissioner for Patents  
Washington, D.C. 20231

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INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. Copies of the patents and publications are enclosed.

REMARKS

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed (CHECK ONE):

- ☒ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☐ (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and
- ☐ the requisite Statement is below, **OR**
- ☐ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or

- ☐ (3) after the mailing date of a **final action** or **notice of allowance** but before the payment of the **issue fee**, **AND**
- ☐ the requisite Statement is below, **AND**
- ☐ the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.

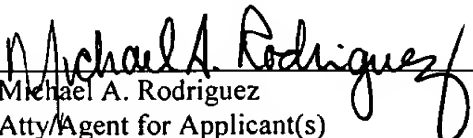
It is respectfully requested that each of the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

### STATEMENT

As required under 37 C.F.R. 1.97(e), Applicant(s), through the undersigned, hereby state either that [check the appropriate space only if either (2) or (3) is checked on the previous page and the Statement is required]:

- ☐ 1. Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application **not more than three months** prior to the filing of the Information Disclosure Statement; or
- ☐ 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any individual** designated in 37 C.F.R. 1.56(c) **more than three months** prior to the filing of the Information Disclosure Statement.

Respectfully submitted,

  
Michael A. Rodriguez

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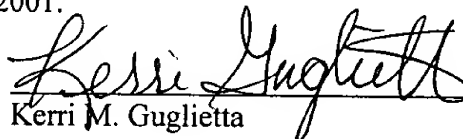
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Sastry et al.  
SERIAL NO.: 09/900,618 GROUP NO.: 2661  
FILING DATE: July 6, 2001 EXAMINER: Not Yet Assigned  
TITLE: A Per Hop Behavior For Differentiated Services In Mobile Ad Hoc  
Wireless Networks

**CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8**

I hereby certify that this correspondence, and any documents referred to as enclosed herein, are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231 on October 2, 2001.

  
Kerri M. Guglietta

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Submitted herewith are:

- (1) Transmittal Form (1 page);
- (2) Information Disclosure Statement (2 pages);
- (3) Form PTO-1449 (3 pages);
- (4) Copies of cited references A1-A15, B1, C1-C22 (38 references); and
- (5) Return Receipt Postcard.

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# TRANSMITTAL FORM

Application Serial Number	09/900,618
Filing Date	July 6, 2001
First Named Inventor	Sastry
Group Art Unit	2661
Examiner Name	Not Yet Assigned
Attorney Docket No.	SRI-010A
BATCH NO. (after allowance)	Not applicable
Patent No.	Not applicable
Issue Date	Not applicable

## ENCLOSURES (check all that apply)

- |   |  |   |
|---|--|---|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Check Attached<br><input type="checkbox"/> Copy of Fee Transmittal Form<br><br><input type="checkbox"/> Amendment/Response<br><input type="checkbox"/> Preliminary<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Letter to Official Draftsperson including Drawings [Total Sheets ____]<br><br><input type="checkbox"/> Petition for Extension of Time<br><br><input checked="" type="checkbox"/> Information Disclosure Statement<br><input checked="" type="checkbox"/> Form PTO-1449<br><input checked="" type="checkbox"/> Copies of IDS Citations (38 refs.)<br><br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><br><input type="checkbox"/> Sequence Listing submission<br><input type="checkbox"/> Paper Copy/CD<br><input type="checkbox"/> Computer Readable Copy<br><input type="checkbox"/> Statement verifying identity of above | <input type="checkbox"/> Copy of Notice to File Missing Parts of Application (PTO-1553)<br><br><input type="checkbox"/> Formal Drawing(s)<br><br><input type="checkbox"/> Request For Continued Examination (RCE) Transmittal<br><br><input type="checkbox"/> Power of Attorney (Revocation of Prior Powers)<br><br><input type="checkbox"/> Terminal Disclaimer<br><br><input type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Design Patent Application<br><br><input type="checkbox"/> Small Entity Statement<br><br><input type="checkbox"/> CD(s) for large table or computer program<br><br><input type="checkbox"/> Amendment After Allowance<br><br><input type="checkbox"/> Request for Certificate of Correction<br><input type="checkbox"/> Certificate of Correction (in duplicate) | <input type="checkbox"/> Notice of Appeal to Board of Patent Appeals and Interferences<br><br><input type="checkbox"/> Appeal Brief (in triplicate)<br><br><input type="checkbox"/> Status Inquiry<br><br><input checked="" type="checkbox"/> Return Receipt Postcard<br><br><input checked="" type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8<br><br><input type="checkbox"/> Certificate of Facsimile Transmission under 37 C.F.R. 1.8<br><br><input type="checkbox"/> Additional Enclosure(s) (please identify below)<br><br><div style="text-align: center;"><b>RECEIVED</b><br/>OCT - 9 2001<br/>Technology Center 2600</div> |
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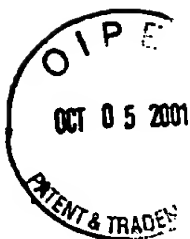
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## SIGNATURE BLOCK

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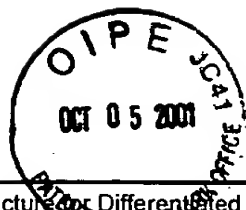


SHEET 1 OF 3

<b>FORM PTO - 1449</b> <b>INFORMATION DISCLOSURE STATEMENT</b>				<b>ATTORNEY DOCKET NO.:</b> SRI-010A (7565/14) <b>APPLICANTS:</b> Sastry et al. <b>SERIAL NO.:</b> 09/900,618 <b>FILING DATE:</b> July 6, 2001 <b>GROUP:</b> 2661					
<b>U.S. PATENT DOCUMENTS</b>									
<b>EXAM. INIT.</b>		<b>DOCUMENT NUMBER</b>	<b>DATE</b>	<b>NAME</b>	<b>CLASS</b>	<b>SUB CLASS</b>	<b>FILING DATE IF APPROPRIATE</b>		
	A1	5,581,544	12/3/96	Hamada et al.	370	253	9/27/94		
	A2	5,754,658	5/19/98	Aucsmith	380	28	4/19/96		
	A3	5,886,993	3/23/99	Ruszczky et al.	370	451	5/30/97		
	A4	6,028,857	2/22/00	Poor	370	351	7/25/97		
	A5	6,047,322	4/4/00	Vaid et al.	709	224	12/29/97		
	A6	6,097,703	8/1/00	Larsen et al.	370	254	12/19/95		
	A7	6,105,027	8/15/00	Schneider et al.	707	9	3/4/98		
	A8	6,157,614	12/5/00	Pasternak et al.	370	236	10/22/97		
	A9	6,163,808	12/19/00	Kilkki	709	233	3/20/97		
	A10	6,163,843	12/19/00	Inoue et al.	713	201	10/24/97		
	A11	6,167,445	12/26/00	Gai et al.	709	223	10/26/98		
	A12	6,170,057 B1	1/2/01	Inoue et al.	713	153	10/16/97		
	A13	6,178,505 B1	1/23/01	Schneider et al.	713	168	3/4/98		
	A14	6,201,871 B1	3/13/01	Bostley, III et al.	380	249	8/19/98		
	A15	6,204,797 B1	3/20/01	Wicks et al.	342	13	6/11/99		
<b>FOREIGN PATENT DOCUMENTS</b>									
<b>EXAM. INIT.</b>		<b>DOCUMENT NUMBER</b>	<b>DATE</b>	<b>COUNTRY CODE</b>	<b>CLASS</b>	<b>SUB CLASS</b>	<b>FILING DATE</b>	<b>ABSTRACT ONLY</b>	<b>ENGLISH LANG (Y/N)</b>
	B1	WO 00/13436	3/9/00	WO	H04Q	7/00	8/27/99	N	Y
<b>OTHER ART, JOURNAL ARTICLES, ETC.</b>									
<b>EXAM. INIT.</b>	<b>OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)</b>								
	C1	"A revised expression of the Expedited Forwarding PHB" Internet - Draft <a href="http://search.ietf.org/internet-drafts/draft-ietf-diffserv-efresolve-00.txt">http://search.ietf.org/internet-drafts/draft-ietf-diffserv-efresolve-00.txt</a> printed 4/18/01 (7 pages)							

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C2	"An Architecture for Differentiated Services" Network Working Group <a href="http://www.ietf.org/rfc/rfc2475.txt">http://www.ietf.org/rfc/rfc2475.txt</a> printed 6/7/01 (26 pages)
C3	"An Assured Rate Per-Domain Behavior for Differentiated Services" Internet Draft <a href="http://search.ietf.org/internet-drafts/draft-seddigh-pdb-ar-00.txt">http://search.ietf.org/internet-drafts/draft-seddigh-pdb-ar-00.txt</a> printed 4/18/01 (6 pages)
C4	"An Expedited Forwarding PHB" Network Working Group <a href="http://www.ietf.org/rfc/rfc2598.txt?number=2598">http://www.ietf.org/rfc/rfc2598.txt?number=2598</a> printed 4/18/01 (8 pages)
C5	"Assured Forwarding PHB Group" Network Working Group <a href="http://www.ietf.org/rfc/rfc2597.txt?number=2597">http://www.ietf.org/rfc/rfc2597.txt?number=2597</a> printed 4/18/01 (8 pages)
C6	"Congestion Control In Computer Networks: Issues And Trends" Raj Jain, Digital Equipment Corp., pp. 1-11, IEEE Network Magazine, May 1990, pp. 24-30
C7	"Current Directions in the DiffServ World" Nicolas Christin, Department of Computer Science, University of Virginia, MNG Meeting, 10/03/2000 (16 pages)
C8	"EF PHB Redefined" Network Working Group, <a href="http://search.ietf.org/internet-drafts/draft-charny-ef-definition-01.txt">http://search.ietf.org/internet-drafts/draft-charny-ef-definition-01.txt</a> printed 4/18/01 (22 pages)
C9	IEEE/ACM Transactions On Networks, Vol. 1, No. 4, August 1993, "Random Early Detection Gateways for congestion Avoidance" S. Floyd and V. Jacobson
C10	IEEE Personal Communication, Vol. 4, No. 1, February 1997, "Signal Stability-Based Adaptive Routing (SSA) for Ad Hoc Mobile Networks" Rohit Dube, Cynthia D. Rais, Kuang-Yeh Wang, and Satish K. Tripathi, University of Maryland
C11	IEEE Infocom '98 Proceedings, The Conference on Computer Communications, Volume 2, Seventeenth Annual Joint Conference of the IEEE Computer and Communications Societies, Pages 572-580 "Multimedia Wireless Link Sharing via Enhanced Class-Based Queuing with Channel-State-Dependent Packet Scheduling" Christine Fragouli, Vijay Sivaraman, Mani B. Srivastava, University of California, Los Angeles
C12	2000 IEEE 51 <sup>st</sup> Vehicular Technology Conference Proceedings, May 15-18, 2000, Tokyo, Japan, Pages 445-449, "A Flexible Quality of Service Model for Mobile Ad-Hoc Networks" Hannan Xiao, Winston K.G. Seah, Anthony Lo, and Kee Chaing Chua,
C13	"IP Authentication Header" Network Working Group <a href="http://www.ietf.org/rfc/rfc2402.txt?number=2402">http://www.ietf.org/rfc/rfc2402.txt?number=2402</a> printed 4/19/01 (16 pages)
C14	"IP Authentication using Keyed MD5" Network Working Group <a href="http://www.ietf.org/rfc/rfc1828.txt?number=1828">http://www.ietf.org/rfc/rfc1828.txt?number=1828</a> printed 4/19/01 (5 pages)
C15	"IP Encapsulating Security Payload" Network Working Group <a href="http://www.ietf.org/rfc/rfc2406.txt?number=2406">http://www.ietf.org/rfc/rfc2406.txt?number=2406</a> printed 4/19/01 (16 pages)
C16	"Per Flow Admission Control over AF PHB Classes" Working Group: Internet Draft <a href="http://search.ietf.org/internet-drafts/draft-bianchi-blefari-admcontr-over-af-phb-00.txt">http://search.ietf.org/internet-drafts/draft-bianchi-blefari-admcontr-over-af-phb-00.txt</a> printed 4/18/01 (8 pages)
C17	"Proportional Forwarding PHB" Diffserv Working Group, <a href="http://search.ietf.org/internet-drafts/draft-jagannathan-diffserv-pf-00.txt">http://search.ietf.org/internet-drafts/draft-jagannathan-diffserv-pf-00.txt</a> printed 4/18/01 (10 pages)

	C18	"Quality of Service Architectures for Wireless Networks: IntServ and DiffServ Models" Indu Mahadevan and Krishna M. Sivalingam, Pages 420-425
	C19	"Quality of Service in Wireless Networks Based on Differentiated Services Architecture" Indu Mahadevan and Krishna M. sivalingam, Pages 548-553
	C20	"Security Architecture for the Internet Protocol" Network Working Group, <a href="http://www.ietf.org/rfc/rfc2401.txt?number=2401">http://www.ietf.org/rfc/rfc2401.txt?number=2401</a> printed 4/18/01 (47 pages)
	C21	"Transmitting Scalable Video over a DiffServ Network" <a href="http://www-ise.stanford.edu/class/ee368c/Projects/project06/">http://www-ise.stanford.edu/class/ee368c/Projects/project06/</a> printed 6/7/01 (16 pages)
	C22	"Using BGP to distribute flexible QoS information" Internet Engineering Task Force <a href="http://search.ietf.org/internet-drafts/draft-bonaventure-bgp-qos-00.txt">http://search.ietf.org/internet-drafts/draft-bonaventure-bgp-qos-00.txt</a> printed 4/18/01 (9 pages)
EXAMINER		DATE CONSIDERED

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